

1 Adopt 2 Cal. Code Regs. section 18755 as follows:

2
3 **18755. Statements Of Economic Interests: Person or Persons at an Institution of**
4 **Higher Education with Principal Responsibility for a Research Project.**
5

6 (a) Disclosure shall be required under Government Code section 87302 or any
7 conflict of interest code in connection with a decision made by a person or persons at an
8 institution of higher education with principal responsibility for a research project to
9 undertake such research, if it is to be funded or supported, in whole or in part by:

10 (1) through a contract or grant with a nongovernmental entity sponsor, or (2) by a
11 gift from a nongovernmental entity sponsor which is earmarked by the donor for a
12 specific principal investigator.

13 (1) A contract or grant from a nongovernmental entity sponsor, or

14 (2) Other funds from a nongovernmental entity earmarked by the donor for a
15 specific research project or for a specific researcher.

16 (b) Types of Statements of Economic Interests.

17 (1) Initial Statement: The initial statement must be submitted to the university
18 filing officer for the statements of economic interests before final acceptance of a
19 contract, grant, or gift. The statement shall include reportable investments in and
20 positions with the sponsor as of the date of the offer of funding, and income and gifts
21 received from the sponsor within the 12 months prior to the date of the offer.

22 (2) Interim Statements: A statement must be filed within 30 days after funding is
23 renewed and shall disclose reportable investments, income and business positions held or
24 received during the period between the date the initial statement was filed and the date
25 the funding for the project was renewed.

26 **[Decision Point 1: (3) Final Statements: The final statement shall be filed within**
27 **90 days after the date either the project was completed or the funding ceased, whichever**
28 **is later, and shall disclose reportable investments, income and business positions held or**
29 **received during the period between the date the last statement was filed (initial or**
30 **interim) and the date the funding for the project ceased or the project was completed,**
31 **whichever is later.]**

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1
2 (c) Content:

3 (1) Income

4 A. The name and address of the sponsor and a general description of the business
5 activity, if any, of the sponsor;

6 B. A statement whether the aggregate value of income from the sponsor, or in the
7 case of a loan, the highest amount owed to the sponsor, was at least \$500 but did not
8 exceed \$1,000, whether it was in excess of \$1,000 but was not greater than \$10,000, or
9 whether it was greater than \$10,000;

10 C. In the case of a loan, the annual interest rate and the security, if any, given for
11 the loan.

12 (2) Gifts. In the case of a gift of \$50 or more, a description of and the amount of
13 the gift; and

14 (3) Investments and Positions with Sponsor

15 When an investment or equity (ownership) interest is required to be disclosed, or
16 when the principal investigator is a director, officer, partner, trustee, employee, or holds
17 any position of management, the disclosure statement shall contain:

18 1. A general description of the business activity in which the sponsor is engaged;

19 2. A statement of whether the fair market value of the investment or interest
20 exceeds \$2,000 but does not exceed \$10,000, whether it exceeds \$10,000, but does not
21 exceed \$100,000, or whether it exceeds \$100,000; and

22 3. Any position held in the entity by the principal investigator.

23 (c) Content: The disclosure statement shall contain the name and address of the
24 sponsor, a general description of the sponsor's business activity, if any, and the amount
25 of funding.

26 (1) Business Positions with Sponsor. When the principal investigator is a
27 director, officer, partner, trustee, employee, or holds any position of management with
28 the sponsor, the disclosure statement shall contain:

29 A. The title of any position held in the entity by the principal investigator.

1 (2) Investments and Equity Interest in the Sponsor. When the principal
2 investigator holds an investment or equity (ownership) interest in the sponsor, the
3 disclosure statement shall contain:

4 A. A statement of the fair market value of the investment or interest and whether
5 the value of the investment or interest is \$2,000 to \$10,000, \$10,001 to \$100,000,
6 \$100,001 to \$1,000,000; or greater than \$1,000,000.

7 (3) Income from the Sponsor. When the principal investigator has received
8 reportable income from the sponsor, the disclosure statement shall contain:

9 A. A statement whether the aggregate value of income from the sponsor, or in the
10 case of a loan, the highest amount owed to the sponsor, was \$500 to 1,000, \$1,001 to
11 \$10,000, \$10,001 to \$100,000, or greater than \$100,000.

12 B. In the case of a loan, the annual interest rate and whether the loan was secured
13 or unsecured.

14 (4) Gifts from the Sponsor. In the case of a gift of \$50 or more from the sponsor,
15 the disclosure statement shall contain:

16 A. A description of the gift.

17 B. The amount or value of the gift.

18 C. The date the gift was received.

19 (5) Payments for Travel from the Sponsor. In the case where a payment for
20 travel was received from the sponsor, the disclosure statement shall contain:

21 A. A description of the nature of the payment and whether it is a gift or income.

22 B. The amount of the payment.

23 C. The dates the travel occurred.

24
25 (d)(1) Disclosure shall not be required under Government Code section 87302 (or
26 under a conflict of interest code) in connection with a decision made by a principal
27 investigator to undertake such research, if the nongovernmental entity funding or
28 supporting the research is one of the following:

29
30 Alzheimer's Disease & Related Disorders Association
31 American Academy of Dermatology
32 American Academy of Pediatrics

American Association for the Advancement of Science
American Association for State & Local History
American Association of Colleges of Pharmacy
American Association of Obstetricians & Gynecologists
American Association of Retired Persons
American Cancer Society
American Chemical Society
American College of Obstetricians & Gynecologists
American College of Radiology
American Committee for the Weizmann Institute of Science
American Council of Learned Societies
American Diabetes Association
American Foundation for Pharmaceutical Education
American Fund for Dental Education, Inc.
American Gastroenterologic Association
American Health Assistance Foundation
American Heart Association
American Kidney Fund
American Library Association
American Liver Foundation
American Lung Association
American Lupus Society, The
American Nurses Foundation
American Parkinson Disease Association
American Philological Association
American Philosophical Society
American Red Cross
Amyotrophic Lateral Sclerosis Society of America
Arthritis Foundation
Asthma & Allergy Foundation of America

Bush Foundation, The

California Association for Neurologically Handicapped Children
California Division of the American Cancer Society
California Heart Association
California Lung Association
Cargill Foundation
Carnegie Corporation of New York
Carnegie Foundation for the Advancement of Teaching
Cerebral Palsy Foundation
Chicago Community Trust, The
Childs Memorial Fund, The Jane Coffin
Christian Children's Fund
Clark Foundation, The Edna McConnell
Columbia Foundation

1 Commonwealth Fund, The
2 Cooley's Anemia Foundation
3 Council on Library Resources
4 Culpeper Foundation, Inc., Charles E.
5 Cystic Fibrosis Foundation
6
7 Deafness Research Foundation, The
8 Donner Foundation, William H.
9 Dover Fund, Inc.
10 Dreyfus Foundation, Inc., The Camille & Henry
11 Dreyfus Foundation, The Max & Victoria
12 Dysautonomia Foundation
13
14 Earhart Foundation
15 Easter Seal Research Foundation
16 Epilepsy Foundation of America
17 Eye Research Institute of Retina Foundation
18
19 Fight for Sight
20 Ford Foundation, The
21 Foundation for Child Development
22 Fuller Fund, The Anna
23
24 German Marshall Fund of the U.S.
25 Giannini Foundation
26 Grant Foundation, The William T.
27 Guggenheim Foundation, H.F.
28 Guggenheim Memorial Foundation, John Simon
29
30 Haas Fund, The Walter & Elise
31 Hartford Foundation, John A.
32 Haynes Foundation, The John Randolph & Dora
33 Hearst Foundation, William R.
34 Hewlett Foundation, The William & Flora
35
36 Institute for Educational Affairs
37 International Research & Exchanges Board
38
39 Japan Foundation
40 Johnson Foundation, The Robert Wood
41 Juvenile Diabetes Foundation
42
43 Kade Foundation, Inc., The Max
44 Kaiser Family Foundation, The Henry J.
45 Keck Foundation, William M.
46 Kellogg Foundation, W.K.

1 Klingenstein Fund, The Esther & Joseph
2 Knights Templar Eye Foundation
3 Kresge Foundation, The
4 Kunstadter Family Foundation, The Albert
5
6 Leakey Foundation, The L.S.B.
7 Leukemia Society
8 Levi Strauss Foundation
9 Lilly Endowment, Inc.
10 Luce Foundation, Inc., The Henry
11 Lupus Foundation of America
12
13 MacArthur Foundation, John D. & Catherine T.
14 McKnight Foundation, The
15 March of Dimes
16 Markle Foundation, The John & Mary R.
17 Mellon Foundation, The Andrew W.
18 Mott Foundation, Charles Stewart
19 Muscular Dystrophy Association
20 Myasthenia Gravis Foundation
21
22 National Academy of Sciences
23 National Collegiate Athletic Association
24 National Council of Teachers of English
25 National Foundation for Ileitis & Colitis
26 National Foundation for Infectious Diseases
27 National Fund for Medical Education
28 National Geographic Society
29 National Head Injury Foundation
30 National Hemophilia Foundation
31 National Kidney Foundation
32 National Leukemia Association
33 National Migraine Foundation
34 National Multiple Sclerosis Society
35 National Research Council
36 National Retinitis Pigmentosa Foundation
37 National Society to Prevent Blindness
38 National Sudden Infant Death Syndrome Foundation
39 National Tuberos Sclerosis Association
40 Northern California Society to Prevent Blindness
41 Noyes Foundation, Inc., Jessie Smith
42
43 Organization for Tropical Studies
44
45 Packard Foundation, The David & Lucille
46 Paralyzed Veterans of America

Pardee Foundation, Elsa U.
Peierls Foundation, Inc., The
Picker Foundation, James
Population Council
Presiding Bishop's Fund for World Relief
Project HOPE
Research Corporation
Research to Prevent Blindness
Resources for the Future, Inc.
Retirement Research Foundation
Richardson Foundation, Smith
Rippel Foundation, Fannie E.
Rockefeller Brothers Fund
Rockefeller Foundation
Rosenberg Foundation
Rubin Foundation, Inc., Samuel
Runyon-Walter Winchell Cancer Fund, Damon
Sage Foundation, Russell
San Francisco Foundation
Scaife Foundation, Inc., Sara
Schiff Foundation
Scottish Rite Schizophrenia Research Program
Sherman Foundation, Nate H.
Skaggs Foundation, L.J. & Mary C.
Skin Cancer Foundation
Sloan Foundation, Alfred P.
Social Science Research Council
Spencer Foundation, The
Teagle Foundation
Tinker Foundation, Inc., The
Treadwell Foundation, Nora Eccles
United Cerebral Palsy
United Scleroderma Research Foundation
U.S. Olympic Committee
Webb Foundation, Del E.
Weingart Foundation
Wenner-Gren Foundation for Anthropological Research, Inc.
Whitehall Foundation
Whitney Foundation, the Helen Hay
Wood Charitable Trust, W.P.
Woods Hole Oceanographic Institution

Zellerbach Family Fund

(d)(2) ~~An entity shall be considered a qualified nonprofit entity under this~~
section based on the following factors:

Deleted: Nonprofit entities

Deleted: for inclusion in the list of
exempt entities

A. The nonprofit organization has been in existence for an extended period of
time.

B. The nonprofit organization does not receive major funding, nor is it tied to, a
corporate source.

C. The nonprofit organization has a national reputation.

D. The nonprofit organization serves, or funds research in, a broad geographic
area.

Note: Authority cited: Section 83112, Government Code.

Reference: Sections 87300, 87303, and 87306, Government Code.